

# ANNUAL SYNAR REPORT

42 U.S.C. 300x-26

OMB No 0930-0222

Missouri

FFY 2007



U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES  
Substance Abuse and Mental Health Services Administration  
Center for Substance Abuse Prevention  
[www.samhsa.gov](http://www.samhsa.gov)

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## INTRODUCTION

The Annual Synar Report (ASR) format provides the means for States to comply with the reporting provisions of the Public Health Service Act (42 U.S.C. 300x-26) and the Tobacco Regulation for the SAPT Block Grant (45 C.F.R. 96.130 (e)).

An agency may not conduct or sponsor and a person is not required to respond to a collection of information unless it displays a currently valid OMB control number. The OMB control number for this project is 0930-0222 with an expiration date of 08/31/2007. Public reporting burden for the collection of information is estimated to average 15 hours for Section I and 3 hours for Section II, including the time for reviewing instructions, completing and reviewing the collection of information, searching existing data sources, and gathering and maintaining the data needed. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing the burden, to SAMHSA Reports Clearance Officer; Paperwork Reduction Project (0930-0222); 1 Choke Cherry Road, Room 7-1044, Rockville, Maryland 20857

### How the Synar report helps the Center for Substance Abuse Prevention

In accordance with the tobacco regulations, States are required to provide detailed information on progress made in enforcing youth tobacco access laws (FFY 2005 Compliance Progress) and future plans to ensure compliance with the Synar requirements to reduce youth tobacco access rates (FFY 2007 Intended Use Plan). These data are required by 42 U.S.C. 300x-26 and will be used by the Secretary to evaluate State compliance with the statute. Part of the mission of the Substance Abuse and Mental Health Services Administration's (SAMHSA) Center for Substance Abuse Prevention (CSAP) is to assist States<sup>1</sup> by supporting Synar activities and providing technical assistance helpful in determining the type of enforcement measures and control strategies that are most effective. This information is helpful to SAMHSA/CSAP in improving technical assistance resources and expertise on enforcement efforts and tobacco control program support activities, including State Synar Program support services, through an enhanced technical assistance program involving conferences and workshops, development of training materials and guidance documents, and on-site technical assistance consultation.

### How the Synar report can help States

The information gathered for the Synar report can help States describe and analyze sub-State needs for program enhancements. These data can also be used to report to the State legislature and other State and local organizations on progress made to date in enforcing youth tobacco access laws when aggregated statistical data from State Synar reports can demonstrate to the Secretary the national progress in reducing youth tobacco access problems. This information will also provide Congress with a better understanding of State progress in implementing Synar, including State difficulties and successes in enforcing retailer compliance with youth tobacco access laws.

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<sup>1</sup>The term State is used to refer to all the States and territories required to comply with Synar as part of the Substance Abuse Prevention and Treatment Block Grant Program requirements (42 U.S.C. 300x-64 and 45 C.F.R. 96.121).

## **Getting assistance in completing the Synar report**

If you have questions about programmatic issues, you may call CSAP's Division of State and Community Assistance at 240-276-2570 and ask for your respective State Project Officer, or contact your State Project Officer directly by telephone or e-mail using the directory provided. If you have questions about fiscal or grants management issues, you may call the Grants Management Officer, Office of Program Services, Division of Grants Management, at 240-276-1404.

## **Where and when to submit the Annual Synar Report**

The Annual Synar Report (ASR) must be received by SAMHSA no later than December 31, 2005. The ASR must be submitted in the **approved OMB report format**. Use of the approved format will avoid delays in the review and approval process. The chief executive officer (or an authorized designee) of the applicant organization must sign page 1 of the ASR certifying that the State has complied with all reporting requirements.

Submit one signed original of the report, one additional copy, and an electronic version on either CD-ROM or 3.5" diskette to the Grants Management Officer at the address below:

Grants Management Officer  
Office of Program Services, Division of Grants Management  
Substance Abuse and Mental Health Services Administration

### **Regular Mail:**

1 Choke Cherry Road, Room 7-1091  
Rockville, Maryland 20857

### **Overnight Mail:**

1 Choke Cherry Road, Room 7-1091  
Rockville, Maryland 20850

## FFY 2007: FUNDING AGREEMENTS/CERTIFICATIONS

The following form must be signed by the Chief Executive Officer or an authorized designee and submitted with this application. Documentation authorizing a designee must be attached to the application.

|  |
|--|
| <b>PUBLIC HEALTH SERVICES ACT AND SYNAR AMMENDMENT</b>   |
| 42 U.S.C. 300x-26 requires each State to submit an annual report of its progress in meeting the requirements of the Synar Amendment and its implementing regulation (45 C.F.R. 96.130) to the Secretary of the Department of Health and Human Services. By signing below, the chief executive officer (or an authorized designee) of the applicant organization certifies that the State has complied with these reporting requirements and the certifications as set forth below. |
| <b>SYNAR SURVEY SAMPLING METHODOLOGY</b>   |
| The State certifies that the Synar survey sampling methodology on file with the Center for Substance Abuse Prevention and submitted with the Annual Synar Report for FFY 2007 is up-to-date and approved by the Center for Substance Abuse Prevention.   |
| <b>SYNAR SURVEY INSPECTION PROTOCOL</b>  |
| The State certifies that the Synar Survey Inspection Protocol on file with the Center for Substance Abuse Prevention and submitted with the Annual Synar Report for FFY 2007 is up-to-date and approved by the Center for Substance Abuse Prevention.  |
| <b>State:</b> Missouri   |
| <b>Name of Chief Executive Officer or Designee:</b>  |
| <b>Signature of CEO or Designee:</b>   |
| <b>Title:</b> _____ <b>Date Signed:</b> _____  |
| <b>If signed by a designee, a copy of the designation must be attached</b>   |

## SECTION I: FFY 2006 (Compliance Progress)

### YOUTH ACCESS LAWS, ACTIVITIES, AND ENFORCEMENT

*42 U.S.C. 300x-26 requires the States to report information regarding the sale/distribution of tobacco products to individuals under age 18.*

- 1. Please indicate any changes or additions to the State tobacco statute(s) relating to youth access since the last reporting year. Please attach a photocopy of the change(s) in the State law(s) if any was made since the last reporting year. (See 42 U.S.C. 300x-26)**

- a. Has there been a change in the *minimum sale age* for tobacco products?**

☐ Yes ☒ No

*If Yes, current minimum age:* ☐ 19 ☐ 20 ☐ 21

- b. Have there been any changes in State law that impact the State's *protocol for conducting Synar inspections*? ☐ Yes ☒ No**

*If Yes, indicate change (check all that apply):*

- ☐ Changed to require that law enforcement conduct inspections of tobacco outlets  
☐ Changed to make it illegal for youth to possess, purchase or receive tobacco  
☐ Changed to require ID to purchase tobacco  
☐ Other change(s) (please describe): \_\_\_\_\_

- c. Have there been any changes in the law concerning *vending machines*? ☐ Yes ☒ No**

*If Yes, indicate change (check all that apply):*

- ☐ Total ban enacted  
☐ Banned from location(s) accessible to youth  
☐ Locking device or supervision required  
☐ Other change(s) (please describe): \_\_\_\_\_

- d. Have there been any changes in State law that impact the following?**

Licensing of tobacco vendors ☐ Yes ☒ No  
Penalties for sales to minors ☐ Yes ☒ No

- 2. Describe how the Annual Synar Report (see 45 C.F.R. 96.130(e)) and the State Plan (see 42 U.S.C. 300x-51) were made public within the State. (Check all that apply)**

- ☐ Placed on file for public review  
☒ Posted on a State agency Web site (Specify Web site location:  
<http://www.dmh.missouri.gov/ada/reportsstatistics.htm> \_\_\_\_\_)  
☐ Notice published in a newspaper or newsletter  
☐ Public hearing

- ☐ Announced in a news release, a press conference, or discussed in a media interview
- ☐ Distributed for review as part of the SAPT Block Grant application process
- ☐ Distributed through the public library system
- ☐ Published in an annual register
- ☒ Other change(s) (*please describe*): Missouri Division of Alcohol and Drug Abuse Annual Status Report

**3. Identify the following agency or agencies.** (*See 42 U.S.C. 300x-26 and 45 C.F.R. 96.130*)

**a. The State agency(s) designated by the Governor for oversight of the Synar requirements:**

Department of Mental Health – Division of Alcohol and Drug Abuse

Has this changed since last year's Annual Synar Report? ☐ Yes ☒ No

**b. The State agency(s) responsible for conducting random, unannounced Synar inspections:**

Department of Mental Health – Division of Alcohol and Drug Abuse

Has this changed since last year's Annual Synar Report? ☐ Yes ☒ No

**c. The State agency(s) responsible for enforcing youth tobacco access law(s):**

Department of Public Safety – Division of Alcohol and Tobacco Control

Has this changed since last year's Annual Synar Report? ☐ Yes ☒ No

**4. Identify the State agency(s) responsible for tobacco prevention control activities.**

Department of Mental Health – Division of Alcohol and Drug Abuse; Department of Public Safety – Division of Alcohol and Tobacco Control

Has the responsible agency changed since last year's Annual Synar Report?

☐ Yes ☒ No

**a. Describe the coordination and collaboration that occur between the agency responsible for tobacco control and the agency responsible for oversight of the Synar requirements. The two agencies (*check all that apply*):**

- ☒ Are the same
- ☐ Have a formal written memorandum of agreement
- ☒ Have an informal partnership
- ☐ Conduct joint planning activities

FFY: 2007 State: MO

Date: 8/18/06

☐ Combine resources

☐ Have other collaborative arrangement(s) (*please describe*): \_\_\_\_\_



5. Please answer the following questions regarding the State's activities to enforce the youth access to tobacco law(s) in FFY 2005. (See 42 U.S.C. 300x-26 and 45 C.F.R. 96.130(e))

a. Which one of the following describes the enforcement of youth access to tobacco laws carried out in your State? (Check one category only)

- ☐ Enforcement is conducted exclusively by local law enforcement agencies.  
☒ Enforcement is conducted exclusively by State agency(s).  
☐ Enforcement is conducted by both local and State agencies.

Note: The Department of Public Safety – Division of Alcohol and Tobacco Control is the only agency that enforces tobacco control laws statewide. Local law enforcement may do checks on their own accord.

b. The following items concern penalties imposed for violations of youth access to tobacco laws by **LOCAL AND/OR STATE LAW ENFORCEMENT AGENCIES**. Please fill in the number requested or indicate if these data are unavailable or the item is not applicable.

| PENALTY                                     | NOT APPLICABLE                      | NOT AVAILABLE                       | TOTAL | If Available |        |
|---|-------------------------------------|-------------------------------------|-------|--------------|--------|
|   |                                     |                                     |       | OWNERS       | CLERKS |
| Number of <u>citations issued</u>           |                                     |                                     | 112   |              | 112    |
| Number of <u>finest assessed</u>            |                                     | <input checked="" type="checkbox"/> |       |              |        |
| Number of <u>permits/licenses suspended</u> | <input checked="" type="checkbox"/> | <input type="checkbox"/>            |       |              |        |
| Number of <u>permits/licenses revoked</u>   | <input checked="" type="checkbox"/> | <input type="checkbox"/>            |       |              |        |
| Other (please describe): Written Reprimands |                                     |                                     | 60    | 60           |        |

c. What additional activities are conducted in your State to support enforcement and compliance with State tobacco access law(s)? (Check all that apply)

- ☒ Merchant education and/or training  
☒ Incentives for merchants who are in compliance (e.g., Reward and Reminder)  
☐ Community education regarding youth access laws  
☐ Media use to publicize compliance inspection results  
☐ Community mobilization to increase support for retailer compliance with youth access laws  
☒ Other activities (please list): Revisits of FFY06 "Eligible but Incomplete" Checks

Briefly describe all checked activities:

### Revisits of FFY06 “Eligible but Incomplete” Checks

The state revisited the 107 outlets classified as "eligible but noncomplete" from the FFY06 Annual Synar Survey – given new criteria in determining eligible non-checks. The state eliminated the following outlet exclusions previously in place: 1) outlets classified as unsafe based on outlet type (i.e. bars) and 2) outlets with no-minors-allowed signs. Instead, outlets are now deemed unsafe based on environmental factors and are determined on a case by case assessment. The 107 outlets were revisited between December 2005 and May 2006. Results of the revisit checks are shown below.

| Response Disposition |  |       |
|----------------------|--|-------|
| code                 |  | Count |
| EC                   | Eligible and inspection complete outlet                          | 62    |
| I1                   | Out of business  | 11    |
| I2                   | Does not sell tobacco products                                   | 5     |
| I3                   | Inaccessible by youth  | 1     |
| I4                   | Private club or private residence                                | 2     |
| I5                   | Temporary closure  | 2     |
| N2                   | Unsafe to access   | 23    |
| N9                   | Other noncompletion reason(s) – restaurant requires reservations | 1     |

| Violation Flag                       |       |
|--------------------------------------|-------|
| Violation Flag                       | Count |
| 0 – Outlet found to be in compliance | 57    |
| 1 – Outlet found to be in violation  | 5     |

### Law Enforcement and Supporting Activities

Between October 2005 and July 2006, the Department of Public Safety – Division of Alcohol and Tobacco Control (DPS-DATC) conducted 92 server trainings in which 2,152 individuals were trained. During the same time period, DPS-DATC conducted 258 enforcement checks. Of these, 112 were found non-compliant with resulting dispositions of 60 letters of reprimand, 32 exemptions from penalties, and 20 pending for dispositions. For compliance checks, DPS-DATC uses 17-year-old minors that have a youthful appearance. The minor does carry his or her own identification. An agent accompanies the minor to every location and monitors the minor at all times. The minor is instructed to purchase either a single pack of cigarettes or a single can of smokeless tobacco using a pre-recorded \$5.00 bill. Attempts to purchase are either videotaped or audiotaped. Non-compliant outlets are re-inspected within 60 days.

### Mass Mailing

The Department of Mental Health – Division of Alcohol and Drug Abuse (DMH-ADA) conducts year-round retailer education including periodic informational mailings. In August 2005 and in November 2005, DMH-ADA mailed informational literature regarding the state tobacco law and retailer training to retail outlets in the state. In January 2006, DMH-ADA printed and distributed 7,300 “age checker” calendars to tobacco retailers.

**Youth Attempt-to-Purchase Checks (includes Synar checks)**

*For these checks, no enforcement activity was conducted.*

DMH-ADA employs five health representatives who have been conducting compliance checks of tobacco retailers in the state. Compliance checks are conducted in which a youth age 16 or 17 checks to see if the store clerk asks for identification when youth presents a tobacco product at the counter or when the youth puts a quarter into a cigarette machine, depending upon the mode of sale. If the mode of purchase is over-the-counter, the event is considered a successful unconsummated buy if the retail clerk fails to refuse the sale prior to requesting payment for the tobacco product. If the mode of purchase is vending machine, the event is considered a successful unconsummated buy if the youth is able to insert a quarter into the vending machine and make a selection without intervention by a store employee whereby they prohibit the youth from purchasing a tobacco product. During these checks, the youth inspectors purchase no tobacco products (insertion of insufficient funds prevents actual purchase). If the check results in a successful (unconsummated) buy, the clerk receives a caution card. The check is followed-up by a caution letter to the owner/manager generally within two weeks of the check. If the store employee refuses the sale, then the store employee is given a congratulatory card. These checks are followed up with a congratulatory letter to the owner/manager of the retail establishment. The follow-up letter includes the date and time of the check as well as a description and name (if available) of the clerk. From August 1, 2005 through July 31, 2006, there were 3,169 checks (including Synar) completed. Of these checks, 283 (9.8%) resulted in the issuance of caution cards.

**Walk-In Visits by Prevention Teams**

Beginning in February 2006, phone contacts and walk-in visits were conducted by DMH-ADA contracted prevention providers. The objectives of these phone contacts and visits were to

- Provide information regarding the state's law on youth access to tobacco products,
- Distribute state law signs,
- Identify outlets that no longer sell tobacco or are out of business,
- Update outlet name, phone number and address information in the listing of known tobacco outlets maintained by DMH-ADA, and to
- Identify new businesses that sell tobacco.

In February 2006, 5,296 outlets were contacted by phone. In March and May 2006, the prevention teams conducted walk-in visits to the previously identified tobacco retailers in the state. In addition, new businesses that sell tobacco products were identified and visited. During the outlet visits, merchant education materials were distributed. Most tobacco retailers received two visits during this time period. In total, 11,698 outlet contacts were made. Prevention teams discussed merchant training with managers and/or owners at nearly 5,400 outlets.

**SYNAR SURVEY METHODS AND RESULTS**

*The following questions pertain to the survey methodology and results of the Synar survey used by the State to meet the requirements of the Synar Regulation in FFY 2005. (See 42 U.S.C. 300x-26 and 45 C.F.R. 96.130)*

**6. Has the sampling methodology changed from the previous year?**

☐ Yes ☒ No

*The State is required to have an approved up-to-date description of the Synar sampling methodology on file with CSAP. Please submit a copy of your Synar Survey Sampling Methodology (Appendix B). If the sampling methodology changed from the previous reporting year, these changes must be reflected in the methodology submitted.*

**7. Please answer the following questions regarding the State's annual random, unannounced inspections of tobacco outlets. (See 45 C.F.R. 96.130(d)(2))**

**a. Did the State use the optional Synar Survey Estimation System (SSES) to analyze the Synar survey data?**

☒ Yes ☐ No

*If Yes, attach SSES summary tables 1, 2, 3 and 4 and go to Question 8.*

*If No, continue to Question 7b.*

**b. Report the weighted and unweighted Retailer Violation Rate (RVR) estimates, and the standard error.**

**Unweighted RVR**

\_\_\_\_\_

**Weighted RVR**

\_\_\_\_\_

**Standard error (s.e.) of the (weighted) RVR**

\_\_\_\_\_

**Fill in the blanks to calculate the right limit of the right-sided 95% confidence interval.**

$$\frac{\text{RVR Estimate}}{\text{Standard Error}} + \frac{(1.645 \times \text{Standard Error})}{\text{Standard Error}} = \text{Right Limit}$$

**c. Fill out Form 1 in Appendix A (Forms). (Required regardless of the sample design)**

**d. How were the (weighted) RVR estimate and its standard error obtained?**

*(Check the one that applies)*

- ☐ Form 2 (Optional) in Appendix A (Forms) *(Attach completed Form 2)*  
☐ Other *(Please specify. Provide formulae and calculations or attach and explain the program code and output with description of all variable names.)*

**e. If stratification was used, did any strata in the sample contain only one outlet or cluster this year?**

- ☐ Yes ☐ No ☐ No stratification

*If Yes, explain how this situation was dealt with in variance estimation.*

**f. Was a cluster sample design used?**

- ☐ Yes ☐ No

*If No, go to Question 7g.*

*If Yes, fill out and attach Form 3 in Appendix A (Forms), and answer the following question:*

**Were any certainty primary sampling units selected this year?**

- ☐ Yes ☐ No

*If Yes, explain how the certainty clusters were dealt with in variance estimation.*

**g. Report the following outlet sample sizes for the Synar survey.**

|   | Sample Size |
|---|-------------|
| <b>Effective sample size</b> (sample size needed to meet the SAMHSA precision requirement assuming simple random sampling)                      |             |
| <b>Target sample size</b> (the product of the effective sample size and the design effect)  |             |
| <b>Original sample size</b> (inflated sample size of the target sample to counter the sample attrition due to ineligibility and non-completion) |             |
| <b>Eligible sample size</b> (number of outlets found to be eligible in the sample)  |             |
| <b>Final sample size</b> (number of eligible outlets in the sample for which an inspection was completed)                                       |             |

**h. Fill out Form 4 in Appendix A (Forms).**

**8. Did the State's Synar survey use a list frame?**

☒ Yes ☐ No

*If Yes, answer the following questions about its coverage:*

**a. The calendar year of the latest frame coverage study:** 2005

**b. Percent coverage from the latest frame coverage study:** 93.6%

**c. Was a new study conducted in this reporting period?** ☐ Yes ☒ No

*If Yes, please complete Appendix D (List Sampling Frame Coverage Study) and submit it with the Annual Synar Report.*

**d. The calendar year of the next coverage study planned:** 2008

**9. Has the Synar survey inspection protocol changed from the previous year?**

☒ Yes ☐ No

*The State is required to have an approved up-to-date description of the Synar inspection protocol on file with CSAP. Please submit a copy of your Synar Survey Inspection Protocol (Appendix C). If the inspection protocol changed from the previous year, these changes must be reflected in the protocol submitted.*

The change to the state's Synar survey inspection protocol regarding determination of eligible non-checks was approved by CSAP on 11/30/2005.

**a. Provide the inspection period:** From: 05/22/2006 To: 07/26/2006  
MM/DD/YY MM/DD/YY

**b. Provide the number of youth inspectors used in the current inspection year:**  
25

- c. **Fill out and attach Form 5 in Appendix A (Forms).** *(Not required if the State used the Synar Survey Estimation System (SSES) to analyze the Synar survey data)*

## SECTION II: FFY 2007 (Intended Use):

*Public law 42 U.S.C. 300x-26 of the Public Health Service Act and 45 C.F.R. 96.130 (e) (4, 5) require that the States provide information on future plans to ensure compliance with the Synar requirements to reduce youth tobacco access.*

**1. In the upcoming year, does the State anticipate any changes in the:**

Synar sampling methodology ☐ Yes ☒ No  
Synar inspection protocol ☐ Yes ☒ No

*If changes are made in either the Synar sampling methodology or the Synar inspection protocol, the State is required to obtain approval from CSAP prior to implementation of the change and file an updated Synar Survey Sampling Methodology (Appendix B) or an updated Synar Survey Inspection Protocol (Appendix C), as appropriate.*

**2. Please describe the State's plans to maintain and/or reduce the retailer violation rate for Synar inspections to be completed in FFY 2007. Include a brief description of plans for law enforcement efforts to enforce youth tobacco access laws, activities that support law enforcement efforts to enforce youth tobacco access laws, and any anticipated changes in youth tobacco access legislation or regulation in the State.**

Since March 1, 2005, law enforcement efforts to enforce youth tobacco access laws by the Department of Public Safety – Division of Alcohol and Tobacco Control (DPS–DATC) consists of attempt-to-buy checks. The state intends to continue this activity. In addition, the state plans to continue its merchant education activities including the year-round non-enforcement compliance checks and merchant informational mailings, visits and trainings. No changes are anticipated in the youth tobacco access legislation or regulation in the State.

**3. Describe any challenges the State faces in complying with the Synar regulation. (Check all that apply)**

- ☒ Limited resources for law enforcement of youth access laws
- ☐ Limited resources for activities to support enforcement and compliance with youth tobacco access laws
- ☒ Limitations in the State youth tobacco access laws
- ☐ Limited public support for enforcement of youth tobacco access laws
- ☐ Limitations on completeness/accuracy of list of tobacco outlets
- ☐ Limited expertise in survey methodology
- ☐ Laws/regulations limiting the use of minors in tobacco inspections
- ☒ Difficulties recruiting youth inspectors
- ☐ Geographic, demographic, and logistical considerations in conducting inspections



- ☐ Cultural factors (e.g., language barriers, young people purchasing for their elders)
- ☐ Issues regarding sources of tobacco under tribal jurisdiction
- ☐ Other challenges (*please list*): \_\_\_\_\_
- ☐ No challenges (*please explain*): \_\_\_\_\_

*Briefly describe all items checked above:*

The state's youth tobacco access laws represent a challenge in complying with the Synar regulation. RSMo 407.934 requires the Department of Revenue to establish a mechanism by which merchants can register as sellers of tobacco products. Registration is voluntary, and the registry is not complete. As a result, the state must expend significant resources to identify tobacco retailers that have not registered with the Department of Revenue. As multiple sources must be relied upon to get an adequately complete and accurate listing, additional work is required to avoid duplication. Additional problems with the registry include lack of outlet phone number and mode of sale.

In Missouri, tobacco retailers do not have a license or a permit that can be held for administrative actions or penalized for the Sale of Tobacco Products to a Minor. The only person that is typically held responsible is the clerk that made the sale. The tobacco laws give minimal administrative action towards the retailer.

The state of Missouri has limited resources for law enforcement of youth access laws. Budget cuts in FY2004 reduced the number of DPS-DATC field agents from 47 to 33 agents; however, in the past year 3 agents were able to be hired, bringing to the total up to 36 agents. These field agents are responsible for enforcing tobacco and liquor laws in the state. In March 2005, the Department of Public Safety – Division of Alcohol and Tobacco Control (DPS-DATC) began attempt-to-buy checks.

Support for prosecution of tobacco violations has been limited. DPS-DATC has been making personal one-on-one contact with prosecutors to search for ways to encourage prosecutors to actually prosecute tobacco-related offenses. As a result of these efforts, the Division has seen an increased willingness among prosecutors to prosecute tobacco related offenses.

Recruitment of youth inspectors is a challenge for the state. The health representatives who conduct the Synar compliance inspections as a part of the merchant education activities have been discouraged from using a single minor for a large number of their region's inspections because of the strong influence that the minor characteristics have on the noncompliance rate. Rather, it is recommended that the inspections be distributed among multiple minors so that the effects of such characteristics are averaged. Recruitment of minors has been difficult due to competition with summer and school activities, family vacations and events, and other employment.

## **APPENDIX A: FORMS**

**FORM 1 (Required for all States not using the Synar Survey Estimation System (SSES) to analyze the Synar Survey data)**

Complete Form 1 to report sampling frame and sample information and to calculate the unweighted retailer violation rate using results from the current year's Synar survey inspections.

**Instructions for Completing Form 1:** In the top right hand corner of the form, provide the State name and reporting Federal fiscal year (FFY 2007). Provide the remaining information by stratum if stratification was used. Make copies of the form if additional rows are needed to list all the strata.

Column 1: *If stratification was used:*

1(a) Sequentially number each row.

1(b) Write in the name of each stratum. All strata in the State must be listed.

*If no stratification was used:*

1(a) Leave blank.

1(b) Write "State" in the first row (indicates that the whole state is a single stratum).

*Note for unstratified samples: for columns 2-5, wherever the instruction refers to "each stratum," report the specified information for the State as a whole.*

Column 2: 2(a) Report the number of over-the-counter (OTC) outlets in the sampling frame in each stratum.

2(b) Report the number of vending machine (VM) outlets in the sampling frame in each stratum.

2(c) Report the combined total of OTC and VM outlets in the sampling frame in each stratum.

Column 3: 3(a) Report the estimated number of eligible OTC outlets in the OTC outlet population in each stratum.

3(b) Report the estimated number of eligible VM outlets in the VM outlet population in each stratum.

3(c) Report the combined total estimated number of eligible OTC and VM outlets in the total outlet population in each stratum.

*The estimates for Column 3 can be obtained from the Synar survey sample as the weighted sum of eligible outlets by outlet type.*

Column 4: 4(a) Report the number of eligible OTC outlets for which an inspection was completed, for each stratum.

4(b) Report the numbers of eligible VM outlets for which an inspection was completed, for each stratum.

4(c) Report the combined total of eligible OTC and VM outlets for which an inspection was completed, for each stratum.

Column 5: 5(a) Report the number of OTC outlets found in violation of the law as a result of completed inspections, for each stratum.

5(b) Report the number of VM outlets found in violation of the law as a result of completed inspections, for each stratum.

5(c) Report the combined total of OTC and VM outlets found in violation of the law as a result of completed inspections, for each stratum.

Totals: For each sub-column (a-c) in Columns 2-5, provide totals for the State as a whole in the last row of the table. These numbers will be the sum of the numbers in each row for the respective column.

**FORM 1 (Required for all States not using the Synar Survey Estimation System (SSES) to analyze the Synar Survey data)**

| Summary of Synar Inspection Results by Stratum       |                     |                                     |                              |                              |  |                              |                              |                               |                              |                              |  |                              |                              |
|--|---------------------|-------------------------------------|------------------------------|------------------------------|--|------------------------------|------------------------------|-------------------------------|------------------------------|------------------------------|--|------------------------------|------------------------------|
| State <u>                    </u><br>FFY <u>2007</u> |                     |                                     |                              |                              |  |                              |                              |                               |                              |                              |  |                              |                              |
| (1)  |                     | (2)                                 |                              |                              | (3)  |                              |                              | (4)                           |                              |                              | (5)  |                              |                              |
| STRATUM  |                     | NUMBER OF OUTLETS IN SAMPLING FRAME |                              |                              | ESTIMATED NUMBER OF ELIGIBLE OUTLETS IN POPULATION |                              |                              | NUMBER OF OUTLETS INSPECTED   |                              |                              | NO. OF OUTLETS FOUND IN VIOLATION DURING INSPECTIONS |                              |                              |
| (a)<br>Row #   | (b)<br>Stratum Name | (a)<br>Over-the-Counter (OTC)       | (b)<br>Vending Machines (VM) | (c)<br>Total Outlets (2a+2b) | (a)<br>Over-the-Counter (OTC)                      | (b)<br>Vending Machines (VM) | (c)<br>Total Outlets (3a+3b) | (a)<br>Over-the-Counter (OTC) | (b)<br>Vending Machines (VM) | (c)<br>Total Outlets (4a+4b) | (a)<br>Over-the-Counter (OTC)                        | (b)<br>Vending Machines (VM) | (c)<br>Total Outlets (5a+5b) |
|  |                     |                                     |                              |                              |  |                              |                              |                               |                              |                              |  |                              |                              |
|  |                     |                                     |                              |                              |  |                              |                              |                               |                              |                              |  |                              |                              |
|  |                     |                                     |                              |                              |  |                              |                              |                               |                              |                              |  |                              |                              |
|  |                     |                                     |                              |                              |  |                              |                              |                               |                              |                              |  |                              |                              |
|  |                     |                                     |                              |                              |  |                              |                              |                               |                              |                              |  |                              |                              |
|  |                     |                                     |                              |                              |  |                              |                              |                               |                              |                              |  |                              |                              |
|  |                     |                                     |                              |                              |  |                              |                              |                               |                              |                              |  |                              |                              |
|  |                     |                                     |                              |                              |  |                              |                              |                               |                              |                              |  |                              |                              |
|  |                     |                                     |                              |                              |  |                              |                              |                               |                              |                              |  |                              |                              |
|  |                     |                                     |                              |                              |  |                              |                              |                               |                              |                              |  |                              |                              |
|  |                     |                                     |                              |                              |  |                              |                              |                               |                              |                              |  |                              |                              |
|  |                     |                                     |                              |                              |  |                              |                              |                               |                              |                              |  |                              |                              |

**RECORD COLUMN TOTALS ON LAST LINE (LAST PAGE ONLY IF MULTIPLE PAGES ARE NEEDED)**

**FORM 2 (Optional)**

**Appropriate for stratified simple or systematic random sampling designs.**

Complete Form 2 to calculate the weighted RVR. This table (in Excel form) is designed to calculate the weighted RVR for stratified simple or systematic random sampling designs, accounting for ineligible outlets and non-complete inspections encountered during the annual Synar survey.

**Instructions for Completing Form 2:**

In the top right hand corner of the form, provide the State name and reporting Federal fiscal year (FFY 2007).

- Column 1: Write in the name of each stratum into which the sample was divided. These should match the strata reported in Column 1(b) of Form 1.
- Column 2: Report the number of outlets in the sampling frame in each stratum. These numbers should match the numbers reported for the respective strata in Column 2(c) of Form 1.
- Column 3: Report the original sample size (the number of outlets originally selected, including substitutes or replacements) for each stratum.
- Column 4: Report the number of sample outlets in each stratum that were found to be eligible during the inspections. Note that this number must be less than or equal to the number reported in Column 3 for the respective strata.
- Column 5: Report the number of eligible outlets in each stratum for which an inspection was completed. Note that this number must be less than or equal to the number reported in Column 4. These numbers should match the numbers reported in Column 4(c) of Form 1 for the respective strata.
- Column 6: Report the number of eligible outlets inspected in each stratum that were found in violation. These numbers should match the numbers reported in Column 5(c) of Form 1 for the stratum.
- Column 7: Form 2 (in Excel form) will automatically calculate the stratum RVR for each stratum in this column. This is calculated by dividing the number of inspected eligible outlets found in violation (Column 6) by the number of inspected eligible outlets (Column 5). The State unweighted RVR will be shown in the Total row of Column 7.
- Column 8: Form 2 (in Excel form) will automatically calculate the estimated number of eligible outlets in the population for each stratum. This calculation is made by multiplying the number of outlets in the sampling frame (Column 2) times the number of eligible outlets (Column 4) divided by the original sample size (Column 3). Note that these numbers will be less than or equal to the numbers in Column 2.
- Column 9: Form 2 (in Excel form) will automatically calculate the relative stratum weight by dividing the estimated number of eligible outlets in the population for each stratum in Column 8 by the Total of the values in Column 8.
- Column 10: Form 2 (in Excel form) will automatically calculate each stratum's contribution to the State weighted RVR by multiplying the stratum RVR (Column 7) by the relative stratum weight (Column 9). The weighted RVR will be shown in the Total row of Column 10.
- Column 11: Form 2 (in Excel form) automatically calculates the standard error of each stratum's RVR (Column 7). The standard error for the State weighted RVR will be shown in the Total row of Column 11.
- TOTAL: For Columns 2-6, Form 2 (in Excel form) provides totals for the State as a whole in the last row of the table. For Columns 7-11, it calculates the respective statistic for the State as a whole.

FFY: 2007 State: MO  
Date: 8/18/06

**FORM 2 (Optional) Appropriate for stratified simple or systematic random sampling designs.**

| Calculation of Weighted Retailer Violation Rate |  |                                     |  |  |  |   |  |  |  |  |
|---|--|-------------------------------------|--|--|--|---|--|--|--|--|
|   |  |                                     |  |  |  |   |  |  |  | State: <u>MO</u>                                       |
|   |  |                                     |  |  |  |   |  |  |  | FFY: <u>2007</u>                                       |
| (1)<br>Stratum<br>Name                          | (2)<br>N<br>Number of<br>Outlets<br>in Sampling<br>Frame | (3)<br>n<br>Original<br>Sample Size | (4)<br>n1<br>Number of<br>Sample Outlets<br>Found Eligible | (5)<br>n2<br>Number of<br>Outlets<br>Inspected | (6)<br>x<br>Number of<br>Outlets Found<br>in Violation | (7)<br>p=x/n2<br>Stratum<br>Retailer<br>Violation<br>Rate | (8)<br>N'=N(n1/n)<br>Estimated<br>Number of<br>Eligible Outlets<br>in Population | (9)<br>w=N'/Total<br>Column 8<br>Relative<br>Stratum<br>Weight | (10)<br>pw<br>Stratum<br>Contribution<br>to State<br>Weighted<br>RVR | (11)<br>s.e.<br>Standard<br>Error of<br>Stratum<br>RVR |
|   |  |                                     |  |  |  |   |  |  |  |  |
|   |  |                                     |  |  |  |   |  |  |  |  |
|   |  |                                     |  |  |  |   |  |  |  |  |
|   |  |                                     |  |  |  |   |  |  |  |  |
| <b>TOTAL</b>                                    |  |                                     |  |  |  |   |  |  |  |  |

- N - number of outlets in sampling frame
- n - original sample size (number of outlets in the original sample)
- n1 - number of sample outlets that were found to be eligible
- n2 - number of eligible outlets that were inspected
- x - number of inspected outlets that were found in violation
- p - stratum retailer violation rate ( $p=x/n2$ )
- N' - estimated number of eligible outlets in population ( $N'=N*n1/n$ )
- w - relative stratum weight ( $w=N'/\text{Total Column 8}$ )
- pw - stratum contribution to the weighted retailer violation rate
- s.e. - standard error of the stratum RVR

**FORM 3 (Required when a cluster design is used for all States not using the Synar Survey Estimation System (SSES) to analyze the Synar survey data)**

Complete Form 3 to report information about primary sampling units when a cluster design was used for the Synar survey.

**Instructions for Completing Form 3:**

In the top right hand corner of the form, provide the State name and reporting Federal fiscal year (FFY2007).

Provide information by stratum if stratification was used. Make copies of the form if additional rows are needed to list all the strata.

Column 1: Sequentially number each row.

Column 2: *If stratification was used:* Write in the name of stratum. All strata in the State must be listed.

*If no stratification was used:* write "State" in the first row to indicate that the whole state constitutes a single stratum.

Column 3: Report the number of primary sampling units (PSUs) (i.e., first-stage clusters) created for each stratum.

Column 4: Report the number of PSUs selected in the original sample for each stratum.

Column 5: Report the number of PSUs in the final sample for each stratum.

TOTALS: For Columns 3-5, provide totals for the State as a whole in the last row of the table.

| Summary of Clusters Created and Sampled |                     |                                  |                                   |  |
|---|---------------------|----------------------------------|-----------------------------------|--|
|   |                     |                                  |                                   | State: _____                                 |
|   |                     |                                  |                                   | FFY: <u>2007</u>                             |
| (1)<br>Row #                            | (2)<br>Stratum Name | (3)<br>Number of PSUs<br>Created | (4)<br>Number of PSUs<br>Selected | (5)<br>Number of PSUs in the<br>Final Sample |
|   |                     |                                  |                                   |  |
|   |                     |                                  |                                   |  |
|   |                     |                                  |                                   |  |
|   |                     |                                  |                                   |  |
| <b>TOTAL</b>                            |                     |                                  |                                   |  |

**FORM 4 (Required for all States not using the Synar Survey Estimation System (SSES) to analyze the Synar Survey data)**

Complete Form 4 to provide detailed tallies of ineligible sample outlets by reasons for ineligibility and detailed tallies of eligible sample outlets with noncomplete inspections by reasons for noncompletion.

**Instructions for Completing Form 4:**

In the top right hand corner of the form, provide the State name and reporting Federal fiscal year (FFY2007).

Column 1(a): Enter the number of sample outlets found ineligible for inspection by reason for ineligibility. Provide the total number of ineligible outlets in the row marked **"Total"**.

Column 2(a): Enter the number of eligible sample outlets with noncomplete inspections by reason for noncompletion. Provide the total number of eligible outlets with noncomplete inspections in the row marked **"Total"**.

| <b>Inspection tallies by reason of ineligibility or noncompletion</b><br><div style="text-align: right;"> <b>State</b><br/> <b>FFY</b> <u>2007</u> </div> |                             |   |                             |
|---|-----------------------------|---|-----------------------------|
| <b>(1)</b><br><b>INELIGIBLE</b>   |                             | <b>(2)</b><br><b>ELIGIBLE</b>                           |                             |
| <b>Reason for ineligibility</b>   | <b>(a)</b><br><b>Counts</b> | <b>Reason for noncompletion</b>                         | <b>(a)</b><br><b>Counts</b> |
| Out of business   |                             | In operation but closed at time of visit                |                             |
| Does not sell tobacco products  |                             | Unsafe to access  |                             |
| Inaccessible by youth   |                             | Presence of police                                      |                             |
| Private club or private residence   |                             | Youth inspector knows salesperson                       |                             |
| Temporary closure   |                             | Moved to new location                                   |                             |
| Unlocatable   |                             | Drive thru only/youth inspector has no driver's license |                             |
| Wholesale only/Carton sale only   |                             | Tobacco out of stock                                    |                             |
| Vending machine broken  |                             | Run out of time   |                             |
| Duplicate   |                             | Other noncompletion reason(s) <i>(describe)</i>         |                             |
| Other ineligibility reason(s) <i>(describe)</i>   |                             |   |                             |
| <b>Total</b>  |                             | <b>Total</b>  |                             |



**FORM 5 (Required for all States not using the Synar Survey Estimation System (SSES) to analyze the Synar survey data)**

Complete Form 5 to show the distribution of outlet inspection results by age and gender of the youth inspectors.

**Instructions for Completing Form 5:**

In the top right hand corner of the form, provide the State name and reporting Federal fiscal year (FFY2007).

Column 1: Enter the number of attempted buys by youth inspector age and gender.

Column 2: Enter the number of successful buys by youth inspector age and gender.

If the inspectors are age eligible but the gender of the inspector is unknown, include those inspections in the "OTHER" row. Calculate subtotals for males and females in rows marked SUBTOTALS. Sum SUBTOTALS for male, female, and OTHER and record in the bottom row marked TOTAL. Verify that that the TOTAL of attempted buys and successful buys equal the total for Column 4(c) and Column 5(c), respectively, on Form 1. If the totals do not match, please explain any discrepancies.

| Synar Survey Inspector Characteristics |                       | State <u>MO</u>        |
|--|-----------------------|------------------------|
|  |                       | FFY <u>2007</u>        |
|  | (1)<br>Attempted Buys | (2)<br>Successful Buys |
| <b><u>Male</u></b>                     |                       |                        |
| 14 yrs                                 |                       |                        |
| 15 yrs                                 |                       |                        |
| 16 yrs                                 |                       |                        |
| 17 yrs                                 |                       |                        |
| 18 yrs                                 |                       |                        |
| <b>MALE SUBTOTAL</b>                   |                       |                        |
| <b><u>Female</u></b>                   |                       |                        |
| 14 yrs                                 |                       |                        |
| 15 yrs                                 |                       |                        |
| 16 yrs                                 |                       |                        |
| 17 yrs                                 |                       |                        |
| 18 yrs                                 |                       |                        |
| <b>FEMALE SUBTOTAL</b>                 |                       |                        |
| <b>OTHER</b>                           |                       |                        |
| <b>TOTAL</b>                           |                       |                        |

## APPENDIX B

STATE: \_\_\_\_\_  
FFY: \_\_\_\_\_

### SYNAR SURVEY SAMPLING METHODOLOGY

**1. What type of sampling frame is used?**

- ☒ List frame (Go to Question 2)  
☐ Area frame (Go to Question 3)  
☐ List-assisted area frame (Go to Question 2)

**2. List all sources of the list frame. Indicate the type of source from the list below. Provide a brief description of the frame source. Explain how the lists are updated (method), including how new outlets are identified and added to the frame. In addition, explain how often the lists are updated (cycle). (After completing this question, go to Question 4)**

*Use the corresponding number to indicate Type of Source in the table below:*

- 1 – Statewide commercial business list      4 – Statewide retail license/permit list  
2 – Local commercial business list      5 – Statewide liquor license/permit list  
3 – Statewide tobacco license/permit list      6 – Other

| Name of Frame Source  | Type of Source | Description  | Updating Method and Cycle  |
|---|----------------|--|--|
| Listing of tobacco outlets maintained by Department of Mental Health-Division of Alcohol and Drug Abuse (DMH-ADA) | 6              | The frame was constructed based on a listing of tobacco outlets from previous years.   | The listing is continuously modified through the activities of year-round compliance checks conducted by DMH-ADA health representatives, and enforcement activity from the DPS-DATC. In addition, the listing is modified based on the phone calls and walk-in visits by the prevention teams. |
| Tobacco registry maintained by the Department of Revenue  | 6              | The registry is a voluntary registration system. Shortcomings of the source include: outlet phone numbers and tobacco mode of sale are not included; no exact location of vending machines; registered outlets that do not sell tobacco products; unregistered outlets that sell tobacco products; multiple listing of outlets; invalid addresses. | The registry is updated on a quarterly basis with a special request update given in May for the purpose of Synar sampling. It is used only to supplement the master list because of the shortcomings.  |
|   |                |  |  |

Outlets that are found to enforce their age restriction policy and deny access to the minor on two consecutive visits (Synar or non-Synar checks) are removed from the list frame. In the case of new ownership, an outlet previously removed from the list frame because of consistent enforcement of the age restriction policy is added back to the list frame and is treated as if the outlet is a new business. The state is able to identify change of ownership when the outlet becomes listed under a new owner tax id number on the state's tobacco registration system. In the case of new ownership, results from any previous checks do not apply and the outlet must prove its ability to consistently enforce its policies under the new ownership.

**3. If an area frame is used, describe how area sampling units are defined and formed.**

**a. Is any area left out in the formation of the area frame?** ☐ Yes ☐ No

*If Yes, what percentage of the State's population is not covered by the area frame?*

\_\_\_\_\_ %

**4. Federal regulation requires that vending machines be inspected as part of the Synar survey. Are vending machines included in the Synar survey?**

☒ Yes ☐ No

*If No, please indicate the reason they are not included in the Synar survey.*

☐ State law bans vending machines

☐ State law bans vending machines from locations accessible to youth

☐ State has SAMHSA approval to exempt vending machines from the survey

☐ Other (please describe): \_\_\_\_\_

**5. Which category below best describes the sample design? (Check only one)**

☐ **Census** (*STOP HERE: Appendix B is complete*)

**Unstratified State-wide sample:**

☐ Simple random sample (*go to Question 9*)

☐ Systematic random sample (*go to Question 6*)

☐ Single-stage cluster sample (*go to Question 8*)

☐ Multi-stage cluster sample (*go to Question 8*)

**Stratified sample:**

☐ Simple random sample (*go to Question 7*)

☒ Systematic random sample (*go to Question 6*)

☐ Single-stage cluster sample (*go to Question 7*)

☐ Multi-stage cluster sample (go to Question 7)

☐ **Other** (please describe and go to Question 9): \_\_\_\_\_

- 6. Describe the systematic sampling methods.** (After completing Question 6, go to Question 7 if stratification is used. Otherwise go to Question 9.)

Three separate listings for the three strata (OTC, VM, and unknown sales mode) are sorted by five administrative regions (Northwest, Central, East, Southwest, Southeast) to achieve implicit stratification, and within each administrative region by county, city, and ZIP code. The sample was selected based on a random start. The Rand() function in Excel was used to generate a starting point between 1 and n, where  $n = (\text{number of outlets in list}) / (\text{number needed for sample})$ . Successive outlets were chosen at n intervals.

- 7. Provide the following information about stratification**

- a. Provide a full description of the strata that are created.**

Seven strata are defined according to sales mode (outlet type) and administrative tobacco region for OTC: (1) VM; (2) Unknown sales mode; (3) OTC-Eastern; (4) OTC-Northcentral; (5) OTC-Northwestern; (6) OTC-Southeastern; (7) OTC-Southwestern.

- b. Is clustering used within the stratified sample?**

☐ **Yes** (go to Question 8)

☒ **No** (go to Question 9)

- 8. Provide the following information about clustering**

- a. Provide a full description of how clusters are formed.** (If multi-stage clusters are used, give definitions of clusters at each stage.)

- b. Specify the sampling method (simple random, systematic, or probability proportional to size sampling) for each stage of sampling and describe how the method(s) is (are) implemented.

9. Provide the formulae for determining the effective, target, and original outlet sample sizes.

The effective sample size:

$$n_e = \frac{z^2 p(1-p)}{d^2} + 1,$$

where  $z$  = the value that cuts the tail of the normal distribution corresponding to a one-tailed 95% confidence level (1.645);

$p$  = estimated noncompliance rate (0.2);

$d$  = required margin of error (0.03).

The target sample size is then determined by

$$n_t = n_e * (\text{design effect}).$$

The original sample size:

$$n_o = n_t \left( \frac{p_1}{a_1 c_1} + \frac{p_2}{a_2 c_2} \right),$$

where  $p_1$  = proportion of vending machines in the outlet population;

$p_2$  = proportion of non-vending machines (OTC and unknown sales mode outlets) in the population;

$a_1$  = accuracy rate for the vending machine stratum;

$c_1$  = completion rate for the vending machine stratum;

$a_2$  = accuracy rate for the non-vending machine strata;

$c_2$  = completion rate for the non-vending machine strata.

**APPENDIX C**

**STATE:** MO  
**FFY:** 2007

**SYNAR SURVEY INSPECTION PROTOCOL**

*Note: Attach a copy of the inspection form and protocol used to record the inspection result.*

**1. How does the State Synar survey protocol address the following?**

**a. Consummated buy attempts?**

- |  |  |
|--|--|
| <input type="checkbox"/> Required                                | <input checked="" type="checkbox"/> Not Permitted  |
| <input type="checkbox"/> Permitted under specified circumstances | <input type="checkbox"/> Not specified in protocol |

**b. Youth inspectors to carry ID?**

- |  |  |
|--|--|
| <input type="checkbox"/> Required                                | <input checked="" type="checkbox"/> Not Permitted  |
| <input type="checkbox"/> Permitted under specified circumstances | <input type="checkbox"/> Not specified in protocol |

**c. Adult inspectors to enter the outlet?**

- |   |  |
|---|--|
| <input type="checkbox"/> Required   | <input type="checkbox"/> Not Permitted             |
| <input checked="" type="checkbox"/> Permitted under specified circumstances | <input type="checkbox"/> Not specified in protocol |

**d. Youth inspectors to be compensated?**

- |  |  |
|--|--|
| <input checked="" type="checkbox"/> Required                     | <input type="checkbox"/> Not Permitted             |
| <input type="checkbox"/> Permitted under specified circumstances | <input type="checkbox"/> Not specified in protocol |

**2. Identify the agency(s) or entity(s) that actually conduct the random, unannounced Synar inspections of tobacco outlets. (Check all that apply)**

- ☐ Law enforcement agency(s)  
☒ State or local government agency(s) other than law enforcement  
☐ Private contractor(s)  
☐ Other

List the agency name(s): Department of Mental Health—Division of Alcohol and Drug Abuse (DMH-ADA)

**3. Are Synar inspections combined with law enforcement efforts (i.e., do law enforcement issue warnings or citations to retailers found in violation of the law at the time of the inspection)?**

- ☐ Always ☐ Usually ☐ Sometimes ☐ Rarely ☒ Never

**4. Describe the methods used to recruit, select, and train youth inspectors and adult supervisors.**

The screening process for Evaluation Officers includes background checks through the Highway Patrol Department and Federal Bureau of Investigation (FBI). Their records are checked for driving under the influence (DUI) and driving while intoxicated (DWI) violations as well as for child abuse and neglect incidents.

The Evaluation Officer prerequisite training includes both didactic instruction and practical field experience. It is comprehensive and specific to all aspects of conducting safe and efficient retail outlet tobacco compliance tests.

The Tobacco Compliance Evaluation and Education (TCEE) Program's five Health Program Representatives and the Program Manager are required to qualify as tobacco compliance Evaluation Officers. The Health Program Representatives are the Division's exclusive full-time Evaluation Officers. Their primary duties and responsibilities are to train minors that have been recruited to participate in the program and to plan, coordinate, and conduct the tobacco compliance tests in accordance with established directives. Other Division staff may be designated collateral duty Evaluation Officers to act as backups to the Health Program Representatives.

A Youth Inspector is the person that will conduct compliance tests of tobacco retail outlets under the direct instruction and supervision of an Evaluation Officer. To be designated as a Youth Inspector a prospective youth participant must comply with all prerequisite requirements.

**5. Are there specific legal or procedural requirements instituted by the State to address the issue of youth inspectors' immunity when conducting inspections?**

a. Legal ☐ Yes ☒ No (If Yes, please describe):

b. Procedural ☒ Yes ☐ No (If Yes, please describe):

Some counties and municipalities in the state may have restrictions that prohibit or limit actions similar to those that are taken in support of tobacco prevention activity. Health Program Representatives will be responsible to identify areas within their assigned region that have restrictions that conflict with the policies and procedures of the Division's Tobacco Compliance Evaluation and Education Program. The Division will send letters to the prosecuting attorneys in those areas

known to have such restrictions asking that immunity be granted to allow completion of retailer compliance testing in accordance with the Division's Tobacco Compliance Evaluation and Education Program. These letters will be kept on file at the Division's central office. Each Health Program representative should obtain and keep copies of immunity letters applicable to their region on file at their location for quick reference.

Evaluation Officers shall verify that letters of immunity are on file prior to conducting compliance tests in areas that have such restrictions. As each Health Program Representative becomes aware of areas that have restrictions that inhibit retailer compliance testing activity but no letter of immunity, he/she will then notify the Program Manager. The Program Manager will be responsible to request letters of immunity as needed. Evaluation Officers shall not conduct compliance evaluations in areas known to have restrictions prohibiting the activity without proper authorization or an appropriate letter of immunity. Other Division staff (e.g., Prevention Specialists, Program Specialists, Community Development Specialists) and local community groups (e.g., Community 2000 Teams) will assist in identifying areas needing letters of immunity.

**6. Are there specific legal or procedural requirements instituted by the State to address the issue of the safety of youth inspectors during all aspects of the Synar inspection process?**

**a. Legal** ☐ Yes ☒ No (If Yes, please describe):

**b. Procedural** ☒ Yes ☐ No (If Yes, please describe):

The inspection team will assess the retailer area for the presence of safety concerns. The Inspection Officer shall ensure all inspection team members understand that they are to report any and all safety concerns to him/her during the assessment process. Prior to commencing a compliance inspection, the Inspection Officer shall consider the input of inspection team members before making a decision whether to proceed with a compliance inspection or not. Although all inspection team members may provide input, the decision to proceed with the compliance inspection is the sole responsibility of the Inspection Officer. If in the judgement of the Inspection Officer the process of conducting a compliance inspection at a given location would pose a safety threat, then that compliance inspection shall not be attempted. If such a condition develops after a compliance inspection has commenced, the Inspection Officer shall terminate the inspection and immediately depart the area.



**7. Are there any other legal or procedural requirements the State has regarding how inspections are to be conducted (e.g., age of youth inspector, time of inspections, training that must occur)?**

**a. Legal**            ☐ Yes    ☒ No (*If Yes, please describe*):

**b. Procedural**    ☒ Yes    ☐ No (*If Yes, please describe*):

As recommended by the Missouri legislature, only minors between the ages of 16 and 17 are used to conduct Synar compliance checks.

## APPENDIX D

STATE: MO  
FFY: 2007

### List Sampling Frame Coverage Study (LIST FRAME ONLY)

1. Calendar year of the coverage study: 2005

2. Percent coverage found: 93.6 %

(Provide calculation of the percent coverage)

x = # of tobacco outlets identified in coverage study that were not found on Master List

n = total # of tobacco outlets identified in coverage study

Percent coverage =  $x / n * 100\% = 220 / 235 * 100\% = 93.6\%$

3. Provide a description of the coverage study methods and results.

The state of Missouri is divided into 20 Service Areas that are used in coordinating the Division's prevention activities. These Service Areas correspond to a single county or a cluster of Missouri counties. In each Service Area, a starting point is determined by randomly selecting a tobacco outlet from the Service Area subset of the Synar sampling frame. Surveyors are recruited from a pool of Central and Regional office employees and exclude employees responsible for the tobacco outlet compliance checks which include Synar checks. Surveyors are instructed to go to the starting point address and identify a pre-determined number of tobacco outlets located in the vicinity of the starting point outlet while remaining within the Service Area boundaries. The starting point outlet is excluded from the tally. The number of tobacco outlets to be identified is determined in proportion to the population of the Service Area. The total number of tobacco outlets (statewide) to be identified is 235. The breakout by Service Area is provided below:

| Missouri Coverage Study |                 |            |             |
|-------------------------|-----------------|------------|-------------|
| SERVICE_AREA            | 2003 Population | MO Portion | Sample size |
| 01                      | 176935          | 3.10%      | 7           |
| JC                      | 659723          | 11.56%     | 27          |
| 06                      | 297563          | 5.22%      | 12          |
| 07                      | 172047          | 3.02%      | 7           |
| 08                      | 110237          | 1.93%      | 5           |
| 09                      | 268172          | 4.70%      | 11          |
| 10                      | 463843          | 8.13%      | 19          |
| 11                      | 241690          | 4.24%      | 10          |

| Missouri Coverage Study |                 |            |             |
|-------------------------|-----------------|------------|-------------|
| SERVICE_AREA            | 2003 Population | MO Portion | Sample size |
| 12                      | 293814          | 5.15%      | 12          |
| 13                      | 79973           | 1.40%      | 3           |
| 14                      | 106429          | 1.87%      | 4           |
| 15                      | 117577          | 2.06%      | 5           |
| 16                      | 479505          | 8.41%      | 20          |
| 17                      | 196604          | 3.45%      | 8           |
| 18                      | 121282          | 2.13%      | 5           |
| 19                      | 109906          | 1.93%      | 5           |
| 20                      | 85956           | 1.51%      | 4           |
| 21                      | 171096          | 3.00%      | 7           |
| 22                      | 206786          | 3.62%      | 9           |
| SL                      | 1345346         | 23.58%     | 55          |

For each starting point location, a road map is provided for that area. Surveyors are instructed to look for outlets that potentially sell cigarettes, cigars, pipe tobacco, and chewing tobacco. They physically enter each potential tobacco outlet. When tobacco products are found, the surveyor records the mode of sale, business name, address, and phone number on the survey form. Survey instructions include an adaptable script to be used to explain the purpose of the visit to store employees. In addition, surveyors wear their official state name badges.

When the surveyor obtains the pre-determined number of tobacco outlets for the given starting point, the survey for the given Service Area is complete. The listing of identified outlets is submitted for comparison against the Synar sampling frame. The fieldwork for the 2005 coverage study was conducted from March 16 thru April 15, 2005. Missouri's Synar sampling frame undergoes continuous updates. For the purpose of the coverage study, the Synar sampling frame was taken as of April 19, 2005. Matching is based on the values in the following fields: business name, street address, city, and phone. City was a required match or near match. For urban areas, street name was a required match and street number was required to be at least a near match (i.e. same block). If street number was not a near match, then name and phone number needed to match to be considered matching records. For rural areas, differing street addresses were mapped to determine if both addresses would lead one to the same location. Of the 235 outlets identified during the coverage study, 220 were found in the Synar sampling frame – giving a coverage rate of 93.6%. The next coverage study is scheduled for Spring, 2008.

**SSES Table 1 (Synar Survey Estimates and Sample Sizes)**

**CSAP-SYNAR REPORT**

|                           |                         |
|---------------------------|-------------------------|
| State                     | MO                      |
| Federal Fiscal Year (FFY) | 2007                    |
| Date                      | 8/18/2006 9:49          |
| Data                      | Synar Input.xls         |
| Analysis Option           | Stratified SRS with FPC |

**Estimates**

|                                      |              |
|--------------------------------------|--------------|
| Unweighted Retailer Violation Rate   | 6.6%         |
| Weighted Retailer Violation Rate     | 6.3%         |
| Standard Error                       | 1.0%         |
| Is SAMHSA Precision Requirement met? | YES          |
| Right-sided 95% Confidence Interval  | [0.0%, 7.9%] |
| Two-sided 95% Confidence Interval    | [4.4%, 8.2%] |
| Design Effect                        | 1.0          |
| Accuracy Rate (unweighted)           | 92.2%        |
| Accuracy Rate (weighted)             | 92.6%        |
| Completion Rate (unweighted)         | 94.1%        |

**Sample Size for Current Year**

|                              |      |
|------------------------------|------|
| Effective Sample Size        | 483  |
| Target (Minimum) Sample Size | 483  |
| Original Sample Size         | 645  |
| Eligible Sample Size         | 595  |
| Final Sample Size            | 560  |
| Overall Sampling Rate        | 9.5% |

**SSES Table 2 (Synar Survey Results by Stratum and by OTC/VM)**

STATE: MO

FFY: 2007

| Samp. Stratum                   | Var. Stratum | Outlet Frame Size | Estimated Outlet Population Size | Number of PSU Clusters Created | Number of PSU Clusters in Sample | Outlet Sample Size | Number of Eligible Outlets in Sample | Number of Sample Outlets Inspected | Number of Sample Outlets in Violation | Retailer Violation Rate(%) | Standard Error(%) |
|---------------------------------|--------------|-------------------|----------------------------------|--------------------------------|----------------------------------|--------------------|--------------------------------------|------------------------------------|---------------------------------------|----------------------------|-------------------|
| <b>All Outlets</b>              |              |                   |                                  |                                |                                  |                    |                                      |                                    |                                       |                            |                   |
| E-OTC                           | E-OTC        | 1,458             | 1,263                            | N/A                            | N/A                              | 135                | 117                                  | 111                                | 4                                     | 3.6%                       |                   |
| NC-OTC                          | NC-OTC       | 1,079             | 1,035                            | N/A                            | N/A                              | 99                 | 95                                   | 95                                 | 9                                     | 9.5%                       |                   |
| NW-OTC                          | NW-OTC       | 1,220             | 1,166                            | N/A                            | N/A                              | 113                | 108                                  | 108                                | 9                                     | 8.3%                       |                   |
| SE-OTC                          | SE-OTC       | 884               | 851                              | N/A                            | N/A                              | 81                 | 78                                   | 76                                 | 3                                     | 3.9%                       |                   |
| SW-OTC                          | SW-OTC       | 1,189             | 1,167                            | N/A                            | N/A                              | 110                | 108                                  | 105                                | 5                                     | 4.8%                       |                   |
| unknown                         | unknown      | 144               | 66                               | N/A                            | N/A                              | 13                 | 6                                    | 5                                  | 0                                     | 0.0%                       |                   |
| vending                         | vending      | 423               | 373                              | N/A                            | N/A                              | 94                 | 83                                   | 60                                 | 7                                     | 11.7%                      |                   |
| Total                           |              | 6,397             | 5,921                            |                                |                                  | 645                | 595                                  | 560                                | 37                                    | 6.3%                       | 1.0%              |
| <b>Over the Counter Outlets</b> |              |                   |                                  |                                |                                  |                    |                                      |                                    |                                       |                            |                   |
| E-OTC                           | E-OTC        | 1,458             | 1,229                            | N/A                            | N/A                              | 130                | 113                                  | 108                                | 4                                     | 3.7%                       |                   |
| NC-OTC                          | NC-OTC       | 1,079             | 1,035                            | N/A                            | N/A                              | 99                 | 95                                   | 95                                 | 9                                     | 9.5%                       |                   |
| NW-OTC                          | NW-OTC       | 1,220             | 1,134                            | N/A                            | N/A                              | 110                | 105                                  | 105                                | 8                                     | 7.6%                       |                   |
| SE-OTC                          | SE-OTC       | 884               | 851                              | N/A                            | N/A                              | 81                 | 78                                   | 76                                 | 3                                     | 3.9%                       |                   |
| SW-OTC                          | SW-OTC       | 1,189             | 1,167                            | N/A                            | N/A                              | 110                | 108                                  | 105                                | 5                                     | 4.8%                       |                   |
| unknown                         | unknown      | 144               | 53                               | N/A                            | N/A                              | 4                  | 4                                    | 4                                  | 0                                     | 0.0%                       |                   |
| vending                         | vending      | 0                 | 87                               | N/A                            | N/A                              | 15                 | 14                                   | 14                                 | 1                                     | 7.1%                       |                   |
| Total                           |              | 5,974             | 5,556                            |                                |                                  | 549                | 517                                  | 507                                | 30                                    | 5.9%                       | 1.0%              |
| <b>Vending Machines</b>         |              |                   |                                  |                                |                                  |                    |                                      |                                    |                                       |                            |                   |
| E-OTC                           | E-OTC        | 0                 | 34                               | N/A                            | N/A                              | 5                  | 4                                    | 3                                  | 0                                     | 0.0%                       |                   |
| NC-OTC                          | NC-OTC       | 0                 | 0                                | N/A                            | N/A                              | 0                  | 0                                    | 0                                  | 0                                     | 0.0%                       |                   |
| NW-OTC                          | NW-OTC       | 0                 | 32                               | N/A                            | N/A                              | 3                  | 3                                    | 3                                  | 1                                     | 33.3%                      |                   |
| SE-OTC                          | SE-OTC       | 0                 | 0                                | N/A                            | N/A                              | 0                  | 0                                    | 0                                  | 0                                     | 0.0%                       |                   |
| SW-OTC                          | SW-OTC       | 0                 | 0                                | N/A                            | N/A                              | 0                  | 0                                    | 0                                  | 0                                     | 0.0%                       |                   |
| unknown                         | unknown      | 0                 | 0                                | N/A                            | N/A                              | 0                  | 0                                    | 0                                  | 0                                     | 0.0%                       |                   |
| vending                         | vending      | 423               | 286                              | N/A                            | N/A                              | 79                 | 69                                   | 46                                 | 6                                     | 13.0%                      |                   |

|       |  |     |     |  |  |    |    |    |   |       |      |
|-------|--|-----|-----|--|--|----|----|----|---|-------|------|
| Total |  | 423 | 352 |  |  | 87 | 76 | 52 | 7 | 13.6% | 4.6% |
|-------|--|-----|-----|--|--|----|----|----|---|-------|------|

Note: There are some records with unknown outlet type. Therefore the overall counts may not equal the sum of OTC and VM counts.

**SSES Table 3 (Synar Survey Sample Tally Summary)**

STATE: MO

FFY: 2007

| Disposition Code              | Description  | Count | Subtotal |
|-------------------------------|--|-------|----------|
| EC                            | Eligible and inspection complete outlet                | 560   |          |
| Total (Eligible Completes)    |  |       | 560      |
| N1                            | In operation but closed at time of visit               | 4     |          |
| N2                            | Unsafe to access                                       | 28    |          |
| N3                            | Presence of police                                     | 0     |          |
| N4                            | Youth inspector knows salesperson                      | 1     |          |
| N5                            | Moved to new location but not inspected                | 0     |          |
| N6                            | Drive thru only/youth inspector has no drivers license | 0     |          |
| N7                            | Tobacco out of stock                                   | 0     |          |
| N8                            | Run out of time  | 0     |          |
| N9                            | Other noncompletion (see below)                        | 2     |          |
| Total (Eligible Noncompletes) |  |       | 35       |
| I1                            | Out of Business  | 19    |          |
| I2                            | Does not sell tobacco products                         | 10    |          |
| I3                            | Inaccessible by youth                                  | 5     |          |
| I4                            | Private club or private residence                      | 2     |          |
| I5                            | Temporary closure                                      | 10    |          |
| I6                            | Unlocatable  | 3     |          |
| I7                            | Wholesale only/Carton sale only                        | 0     |          |
| I8                            | Vending machine broken                                 | 0     |          |
| I9                            | Duplicate  | 1     |          |
| I10                           | Other ineligibility                                    | 0     |          |
| Total (Ineligibles)           |  |       | 50       |
| Grand Total                   |  |       | 645      |

**Give reasons and counts for other noncompletion:**

| Reason   | Count |
|--|-------|
| Would not allow in without being seated for dining | 2     |
|  |       |
|  |       |
|  |       |
|  |       |

**SSES Table 4 (Synar Survey Inspection Results by Youth Inspector Characteristics)**

STATE: MO  
FFY: 2007

**Frequency Distribution**

| Gender      | Age      | Number of Inspectors | Attempted Buys | Successful Buys |
|-------------|----------|----------------------|----------------|-----------------|
| Male        | 14       | 0                    | 0              | 0               |
|             | 15       | 0                    | 0              | 0               |
|             | 16       | 7                    | 132            | 9               |
|             | 17       | 6                    | 150            | 11              |
|             | 18       | 0                    | 0              | 0               |
|             | Subtotal | 13                   | 282            | 20              |
| Female      | 14       | 0                    | 0              | 0               |
|             | 15       | 0                    | 0              | 0               |
|             | 16       | 6                    | 79             | 4               |
|             | 17       | 7                    | 199            | 13              |
|             | 18       | 0                    | 0              | 0               |
|             | Subtotal | 13                   | 278            | 17              |
| Other       |          | 0                    | 0              | 0               |
| Grand Total |          | 26                   | 560            | 37              |

**Buy Rate in Percent by Age and Gender**

| Age   | Male | Female | Total |
|-------|------|--------|-------|
| 14    | 0.0% | 0.0%   | 0.0%  |
| 15    | 0.0% | 0.0%   | 0.0%  |
| 16    | 6.8% | 5.1%   | 6.2%  |
| 17    | 7.3% | 6.5%   | 6.9%  |
| 18    | 0.0% | 0.0%   | 0.0%  |
| Other |      |        | 0.0%  |
| Total | 7.1% | 6.1%   | 6.6%  |